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ATTORNEY DOCKET NO. 70040066-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Chua et al.

Serial No.: 10/761,763

Examiner: Unknown

Filing Date: Jan 21, 2004

Group Art Unit: Unknown

Title: Device and Method for Emitting Output Light Using Group IIB Element Selenide-Based and Group IIA Element Gallium Sulfide-Based Phosphor Materials

COMMISSIONER FOR PATENTS

P.O. Box 1450

Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (a) ☒ Under 37 CFR 1.97(b).
(Within three months of filing national application; or date of entry of national application; or before mailing date of first Office action on the merits; whichever occurs last).
- (b) ☐ Under 37 CFR 1.97(c) together with **either** a:
☐ Statement under CFR 1.97(e), or
☐ \$180.00 fee under 37 CFR 1.17(p).
(After the CFR 1.97(b) time period, but before a final action or notice of allowance, whichever occurs first).
- (c) ☐ Under 37 CFR 1.97(d) together with: a
Statement under 37 CFR 1.97(e), **and**
\$180.00 fee as set forth in 37 CFR 1.17(p).
(After a final action or notice of allowance, whichever occurs first, but before payment of the issue fee).

☐ STATEMENT UNDER 37 CFR 1.97(e)

The undersigned certifies that:

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
- ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☐ PRIOR APPLICATIONS

References identified with an asterisk (*) in the enclosed PTO Form 1449, were disclosed in prior Patent Application No. _____, filed _____, now U.S. Patent No. _____, and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

☐ FOREIGN LANGUAGE DOCUMENTS

A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

☐ **FEE AUTHORIZATION**

Please charge to Deposit Account **50-1078** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **50-1078** pursuant to 37 CFR 1.25.

I hereby certify that this correspondence is being deposited with the United States Postal Service as:

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OR

☐ I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Date of Facsimile:

Typed Name: Thomas H. Ham

Signature: Thomas H. Ham

Respectfully submitted,

Chua et al.

By

Thomas H. Ham

Thomas H. Ham
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Date: 08/25/2005

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PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTORNEY DOCKET NO.
70040066-1SERIAL NO.
10/761,763

APPLICANT

Chua et al.

FILING DATE
January 21, 2004

GROUP

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | * | DOCUMENT NUMBER | DATE | NAME |
|---------------------|---|--------------------|------------|------------|
| | | 5,677,594 | 10/14/1997 | Sun et al. |
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FOREIGN PATENT DOCUMENT

| | | DOCUMENT NUMBER | DATE | NAME | TRANSLATION YES NO | |
|--|--|--------------------|------------|----------------|-----------------------|---|
| | | WO 01/24229 A2 | 04/05/2001 | Mueller et al. | | X |
| | | EP 1 403 689 A2 | 03/31/2004 | Lowery | | X |
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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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EXAMINER

DATE CONSIDERED

* Copies of these references are not enclosed Pursuant to 37 CFR 1.98(d). (See accompanying IDS)

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